

Applicant Initiated Interview Request Form

Application No.: 10/815,229 First Named Applicant: Kenrich
 Examiner: Shanto Abedin Art Unit: 2436 Status of Application: Pending

Tentative Participants:

(1) Examiner Abedin (2) Randall K. Baldwin
 (3) Glenn J. Perry (4) _____

Proposed Date of Interview: October 28, 2009 Proposed Time: 2:30 PM AM/PM

Type of Interview Requested:

(1) ☒ Telephonic (2) ☐ Personal (3) ☐ Video Conference

Exhibit To Be Shown or Demonstrated: ☒ YES ☐ NO

If yes, provide brief description: Enclosed - proposed claim amendments

Issues To Be Discussed

| Issues (Rej., Obj., etc) | Claims/ Fig. #s | Prior Art | Discussed | Agreed | Not Agreed |
|-----------------------------|------------------------|-----------------------------|--------------------------|--------------------------|--------------------------|
| (1) <u>Rej.</u> | <u>25</u> | <u>N/A-35 USC 101</u> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| (2) <u>Rej.</u> | <u>1, 13, & 21</u> | <u>Shapiro</u> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| (3) <u>Rej.</u> | <u>10</u> | <u>Shapiro & Batten</u> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| (4) <u>Rej.</u> | <u>1-4 and 6-26</u> | <u>N/A-double pat.</u> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |

☐ Continuation Sheet Attached

Brief Description of Argument to be Presented:

Will discuss proposed amendments to claim 25 (regarding rejection of claim under 35 U.S.C. 101).

Will discuss features in the application/claims and the applied Shapiro and Batten-Carew references.

Will discuss rejections of independent claims 1, 10, 13, & 21 under 35 U.S.C. 102/103 and proposed amendments.

An interview was conducted on the above-identified application on _____.

NOTE: This form should be completed by applicant and submitted to the examiner in advance of the interview (see MPEP § 713.01).

This application will not be delayed from issue because of applicant's failure to submit a written record of this interview. Therefore, applicant is advised to file a statement of the substance of this interview (37 CFR 1.133(b)) as soon as possible.

R. K. Baldwin
Applicant/Applicant's Representative Signature

Randall K. Baldwin

59,713
Typed/Printed Name of Applicant or Representative

59,713
Registration Number, if applicable

Examiner/SPE Signature

This collection of information is required by 37 CFR 1.133. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 21 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

KENRICH *et al.*

Appl. No.: 10/815,229

Filed: March 30, 2004

For: **Method and System for Providing
Cryptographic Document Retention
with Off-Line Access**

Confirmation No.: 8114

Art Unit: 2436

Examiner: Abedin, Shanto

Atty. Docket: 2222.5490000

DRAFT

Proposed Claim Amendments to be discussed during telephonic interview

**PROPOSED CLAIMS--FOR DISCUSSION PURPOSES ONLY--NOT TO BE
ENTERED INTO FORMAL RECORD*****Proposed Amendments to the Claims***

1. (Currently amended) A method of providing automated document retention for an electronic document comprising:

assigning a document retention policy to the electronic document, the document retention policy being derived from a recurring cut-off retention schedule specifying cut-off periods, each cut-off period having a respective document retention duration associated therewith and corresponding to a respective maximum off-line period of a client, wherein the maximum off-line period expires a predetermined period of time after a beginning of its cut-off period; and

encrypting the electronic document using cryptographic keys associated with particular cut-off periods, associated retention durations, and corresponding maximum off-line periods, wherein the encrypting is based on the document retention policy such

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Appl. No. 10/815,229

that the electronic document can be cryptographically accessed only during retention durations and prior to the expiration of the maximum off-line period of the client.

10. (Currently amended) A method of limiting access to an electronic document comprising:

determining whether a cut-off period of a recurring cut-off retention schedule for a first document retention key has elapsed;

generating, according to a predetermined schedule, a next document retention key having a document retention policy associated therewith, wherein the document retention policy specifies a document retention duration that expires a predetermined period of time after a beginning of a next cut-off period, wherein the next document retention key is to be used to encrypt the electronic document during a next cut-off period, the next document retention key having a document retention duration associated therewith and corresponding to a maximum off-line period of a client, wherein the maximum off-line period expires a predetermined period of time after a beginning of the next cut-off period; and

notifying the client of the next document retention key, the electronic document being cryptographically accessible only during document retention durations and prior to the expiration of the maximum off-line period of the client using a cryptographic key associated with ~~such durations~~ particular cut-off periods, associated retention durations, and corresponding maximum off-line periods.

13. (Currently amended) A method for restricting access to an electronic document, said method comprising:

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Appl. No. 10/815,229

encrypting a data portion of the electronic document using a document key to produce an encrypted data portion;

using a retention access key to associate a document retention policy with the electronic document, wherein the document retention policy specifies the document retention duration that expires a predetermined period of time after a beginning of a cut-off period of a recurring cut-off retention schedule;

encrypting the document key using the retention access key to produce an encrypted document key, the retention access key being usable for said encrypting during [[a]] the cut-off period of a recurring cut-off retention schedule, the cut-off period having a document retention duration associated therewith and corresponding to a maximum off-line period of a client, wherein the maximum off-line period expires a predetermined period of time after a beginning of the cut-off period;

forming a secured electronic document from at least the encrypted data portion and the encrypted document key; and

storing the secured electronic document, the secured electronic document being cryptographically accessible only during the document retention duration and prior to the expiration of the maximum off-line period of the client.

21. (Currently amended) A tangible computer-readable medium having instructions stored thereon, the instructions ~~computer-executable instructions that, if executed by a computing device, cause the computing device to perform a method comprising:~~

instructions for assigning a document retention policy to an electronic document, the document retention policy being derived from a recurring cut-off retention schedule

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Appl. No. 10/815,229

specifying cut-off periods, each cut-off period having a respective document retention duration associated therewith and corresponding to a respective maximum off-line period of a client, wherein the maximum off-line period expires a predetermined period of time after a beginning of its cut-off period; and

instructions for encrypting the electronic document using cryptographic keys associated with particular cut-off periods, associated retention durations, and corresponding maximum off-line periods, wherein the encrypting is based on the document retention policy such that the electronic document can be cryptographically accessed only during retention durations and prior to the expiration of the maximum off-line period of the client.

25. (Currently amended) A ~~computer-implemented~~ file security system for restricting access to an electronic file, comprising:

a computing device;

a module which if executed by ~~[[a]]the computing device of the computer-implemented file security system~~, causes the computing device to store a plurality of cryptographic key pairs on a computer-readable storage medium, each of the cryptographic key pairs including a public key and a private key, at least one of the cryptographic key pairs pertaining to a retention policy, the retention policy having document retention durations, each document retention duration having a respective cut off period associated therewith and corresponding to a respective maximum off-line period of a client, wherein the maximum off-line period expires a predetermined period of time after a beginning of its cut-off period; and

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Appl. No. 10/815,229

an access control management module which if executed by ~~[[a]]the computing device of the computer-implemented file security system,~~ causes the computing device to:

provide, for each particular cut-off period, a different one of the public keys of the at least one of the cryptographic key pairs, and

determine whether the private key of the at least one of the cryptographic key pairs pertaining to the retention policy is permitted to be provided to a requestor based on whether its respective document retention duration following a beginning of its respective cut-off period has expired,

wherein the requestor requires the private key of the at least one of the cryptographic key pairs pertaining to the retention policy to access a secured electronic file, and wherein the secured electronic file was previously secured using the public key of the at least one of the cryptographic key pairs pertaining to the retention policy, and at the time the electronic file was secured, the public key was within its respective cut-off period and available for use, the secured electronic document being cryptographically accessible only during the retention durations and prior to the expiration of the maximum off-line period of the client.

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